

Governor's Office of Homeland Security



FY07-08 California Transit Security Grant Program California Transit Assistance Fund (CTSGP-CTAF)

Program Guidelines and Application Kit

March 13, 2008

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Overview

The Highway Safety, Traffic Reduction, Air Quality and Port Security Bond Act of 2006 (Proposition 1B)

The Highway Safety, Traffic Reduction, Air Quality and Port Security Bond Act of 2006, approved by the voters as Proposition 1B at the November 07, 2006 general election, authorizes the issuance of nineteen billion nine hundred twenty five million dollars (\$19,925,000,000) in general obligation bonds for specified purposes, including grants for transit system safety, security and disaster response projects.

Transit System Safety, Security & Disaster Response Account

Section 8879.23 of the California Government Code creates the Highway Safety, Traffic Reduction, Air Quality and Port Security Fund of 2006 in the State Treasury. Section 8879.23 (h) directs that one billion dollars (\$1,000,000,000) be deposited in the Transit System Safety, Security and Disaster Response Account. This section further directs that one hundred million dollars (\$100,000,000) be made available upon appropriation by the legislature to entities for eligible transit system safety, security and disaster response projects.

Senate Bill 88

Senate Bill 88 (SB 88) was signed by the Governor and chaptered into law on August 24, 2007. SB 88 implements the provisions of the Highway Safety, Traffic Reduction, Air Quality and Port Security Bond Act of 2006.

http://leginfo.ca.gov/pub/07-08/bill/sen/sb_0051-0100/sb_88_bill_20070824_chaptered.pdf

FY07-08 California Transit Assistance Fund

The program guidelines and application kit will provide eligible applicants with the guidance, information and documents necessary to participate in the **FY07-08 California Transit Assistance Fund (CTAF)** administered by the Governor's Office of Homeland Security (OHS).

The *Program Guidelines* may be obtained at:

http://www.ohs.ca.gov/grants_prop1b_transit.html

NOTE: The FY 07-08 CTSGP-CTAF guidance may be modified through the issuance of Grant Management Memos. **The California Transit Assistance Fund (CTAF) guidance is a living document and is subject to change.**

As the administrative agency for the CTAF, the Governor's Office of Homeland Security will issue program guidelines, grant management memorandums, conduct grant management workshops, training sessions, meetings and working groups. Information regarding these activities will be communicated to program participants and the public on the OHS website:

<http://www.ohs.ca.gov/index.html>

Funds Available

Funds appropriated for the FY07-08 California Transit Assistance Fund (CTAF) is sixty million dollars \$60,000,000. Of these funds, 50 percent shall be allocated to eligible agencies using the formula in Section 99314 of the Public Utilities Code, and 50 percent shall be allocated to eligible agencies using the formula in Section 99313 of the Public Utilities Code, subject to the provisions governing funds allocated under those sections. Funds allocated to the Metropolitan Transportation Commission pursuant to Section 99313 of the Public Utilities Code shall be suballocated to transit operators within its jurisdiction pursuant to Section 99314 of the Public Utilities Code.

Eligible Recipient Agencies

The Controller shall provide a list of eligible agencies and transit operators, including the amount of funds each is eligible to receive from the account pursuant to subdivision (a) of Section 8879.57. The amount of funds will be proportional to the share received from the allocation of State Transit Assistance funds, pursuant to Sections 99313 and 99314 of the Public Utilities Code, over fiscal years 2004-05, 2005-06, and 2006-07. **All amounts will be reduced for administrative costs and loan interest until the loan is repaid.**

ELIGIBLE ALLOCATION - FISCAL YEAR 2007-2008

Regional Entity	GC 8879.58(a)(2)	GC 8879.58(a)(3)	Eligible Allocation
Tahoe Regional Planning Agency	70,949	3,841	74,790
Metropolitan Transportation Commission	5,766,503	15,548,491	21,314,994
Sacramento Area Council of Governments	1,398,859	759,904	2,158,763
Alpine County Transportation Commission	1,015	0	1,015
Amador County Transportation Commission	30,719	2,417	33,136
Butte County Association of Governments	175,286	6,692	181,978
Calaveras Council of Governments	36,697	0	36,697
Colusa County Local Transportation Commission	17,204	1,421	18,625
Del Norte Local Transportation Commission	23,546	0	23,546
El Dorado County Local Transportation Commission	114,306	11,189	125,495
Fresno County Council of Governments	723,461	98,478	821,939
Glenn County Local Transportation Commission	23,081	0	23,081
Humboldt County Association of Governments	107,091	17,204	124,295
Imperial Valley Association of Governments	133,338	0	133,338
Inyo County Local Transportation Commission	15,039	3,168	18,207
Kern Council of Governments	622,611	53,582	676,193
Kings County Association of Governments	118,723	23,951	142,674
Lake County/City Planning Council	51,786	2,888	54,674
Lassen County Local Transportation Commission	28,712	1,444	30,156
Los Angeles County Transportation Commission	8,297,329	10,014,368	18,311,697
Madera County Local Transportation Commission	115,664	0	115,664
Mariposa County Local Transportation Commission	14,687	166	14,853
Mendocino Council of Governments	73,195	7,292	80,487
Merced County Association of Governments	197,606	8,683	206,289
Modoc County Local Transportation Commission	7,940	0	7,940
Mono County Local Transportation Commission	11,020	0	11,020
Transportation Agency for Monterey County	344,494	58,121	402,615
Nevada County Local Transportation Commission	80,612	4,499	85,111
Orange County Transportation Authority	2,485,155	1,035,419	3,520,574
Placer County Local Transportation Commission	208,905	20,838	229,743
Plumas County Local Transportation Commission	17,332	0	17,332
Riverside County Transportation Commission	1,553,822	231,221	1,785,043
Council of San Benito County Governments	46,712	0	46,712
San Bernardino County Transportation Commission	1,597,771	309,993	1,907,764
San Diego Association of Governments	616,832	243,662	860,494
San Diego Metropolitan Transit Development Board	1,864,394	915,051	2,779,445
San Joaquin Regional Transit District	535,882	131,085	666,967
San Luis Obispo Council of Governments	212,691	34,801	247,492
Santa Barbara County Association of Governments	341,078	92,060	433,138
Santa Cruz County Transportation Commission	212,337	228,168	440,505
Shasta County Regional Transportation Planning Agency	146,125	7,436	153,561
Sierra County Local Transportation Commission	2,850	0	2,850
Siskiyou County Transportation Commission	37,262	1,672	38,934
Stanislaus Council of Governments	413,426	29,415	442,841
Tehama County Transportation Commission	49,385	0	49,385
Trinity County Transportation Commission	11,275	232	11,507
Tulare County Association of Governments	337,049	15,356	352,405
Tuolumne County and Cities Planning Council	47,171	0	47,171
Ventura County Transportation Commission	661,073	75,792	736,865
State Totals	\$30,000,000	\$30,000,000	\$60,000,000

** All amounts will be reduced for administrative costs and loan interest until the loan is repaid.

Regional Entity, and Operator(s)	8879.58(a)(3)
Tahoe Regional Planning Agency (TRPA)	
City of South Lake Tahoe	3,841
Metropolitan Transportation Commission (MTC)	
Alameda-Contra Costa Transit District	*
Alameda County Congestion Management Agency - Corresponding to Altamont Commuter Express	28,322
City of Benicia	2,159
Central Contra Costa Transit Authority	85,288
City of Dixon	692
Eastern Contra Costa Transit Authority	34,606
City of Fairfield	12,078
Golden Gate Bridge Highway and Transportation District	585,385
City of Healdsburg	187
Livermore-Amador Valley Transit Authority	26,768
Napa County Transportation Agency	7,151
Peninsula Comdor Joint Powers Board	685,145
City of San Francisco	*
San Francisco Bay Area Rapid Transit District	*
San Mateo County Transit District	807,082
Santa Clara Valley Transportation Authority	2,399,894
Santa Clara Valley Transportation Authority – Corresponding to Altamont Commuter Express	39,523
City of Santa Rosa	18,319
County of Sonoma	23,208
City of Union City	6,854
City of Vallejo	98,887
Western Contra Costa Transit Authority	41,414
Regional Entity Totals	15,548,491
Sacramento Area Council of Governments (SACOG)	
City of Davis	20,292
City of Elk Grove	6,522
City of Folsom	2,188
Sacramento Regional Transit system	706,507
Yolo County Transportation District	16,426
Yuba Sutter Transit Authority	7,969
Regional Entity Totals	759,904
Alpine County Transportation Commission	NONE
Amador County Transportation Commission	
Amador Rapid Transit System	2,417
Butte County Association of Governments	
Butte County Association of Governments	6,692

Regional Entity, and Operator(s)	8879.58(a)(3)
Calaveras Council of Governments	NONE
Colusa County Local Transportation Commission	
County of Colusa	1,421
Del Norte Local Transportation Commission	NONE
El Dorado County Transportation Commission	
County of El Dorado	641
El Dorado County Transit Authority	10,548
Regional Entity Totals	11,189
Fresno County Council of Governments	
City of Clovis	914
City of Fresno	93,248
Fresno County Rural Transit Agency	4,316
Regional Entity Totals	98,478
Glenn County Local Transportation Commission	NONE
Humboldt County Association of Governments	
City of Arcata	1,684
City of Eureka	4,063
City of Fortuna	97
Humboldt Transit Authority	11,360
Regional Entity Totals	17,204
Imperial Valley Association of Governments	NONE
Inyo County Local Transportation Commission	
County of Inyo	3,168
Kern Council of Governments	
City of Arvin	607
City of California City	203
City of Delano	518
Golden Empire Transit District	41,506
County of Kern	6,113
City of McFarland	114
City of Ridgecrest	1,019
City of Shafter	539
City of T&	2,629
City of Tehachapi	61
City of Wasco	273
Regional Entity Totals	53,582

* The combined allocation for Alameda-Contra Costa Transit District, San Francisco Bay Area Rapid Transit District, and the City of Sac Francisco is \$10,645,529

Regional Entity, and Operator(s)	8879.58(a)(3)
Kings County Association of Governments	
City of Corcoran	587
Kings County Area Public Transit Agency	23,364
Regional Entity Totals	23,951
Lake County/City Planning Council	
Lake Transit Authority	2,888
Lassen County Local Transportation Commission	
County of Lassen	1,444
Los Angeles County Transportation Commission	
Antelope Valley Transit Authority	95,786
City of Arcadia	10,058
City of Claremont	3,073
City of Commerce	21,343
City of Culver City	66,090
Foothill Transit Zone	327,193
City of Gardena	76,732
City of La Mirada	8,102
Long Beach Public Transportation Company	371,122
Los Angeles County Metropolitan Transportation Authority	7,805,714
City of Montebello	151,698
City of Norwalk	71,626
City of Redondo Beach	9,133
City of Santa Monica	267,091
Southern California Regional Rail Authority	
Los Angeles County Metropolitan Transportation Authority	614,147
Orange County Transportation Authority	**
Riverside County Transportation Commission	**
San Bernardino Associated Governments	**
Ventura County Transportation Commission	**
City of Torrance	115,470
Regional Entity Totals	10,014,368
Madera County Local Transportation Commission	NONE
Mariposa County Transportation Commission	
County of Mariposa	166
Mendocino Council of Governments	
Mendocino Transit Authority	7,292
Merced County Association of Governments	
County of Merced	8,683
Modoc County Local Transportation Commission	NONE

Regional Entity, and Operator(s)	8879.58(a)(3)
Mono County Local Transportation Commission	NONE
Transportation Agency for Monterey County	
City of Greenfield	94
City of King City	82
Monterey-Salinas Transit	57,868
City of Soledad	77
Regional Entity Totals	58,121
Nevada County Local Transportation Commission	
County of Nevada	4,499
Orange County Transportation Authority	
City of Laguna Beach	5,279
Orange County Transportation Authority	807,113
Orange County Transportation Authority - Corresponding to Southern California Regional Rail Authority	223,027
Regional Entity Totals	1,035,419
Placer County Local Transportation Commission	
City of Auburn	694
City of Lincoln	233
County of Placer	14,240
City of Roseville	5,671
Regional Entity Totals	20,838
Plumas County Local Transportation Commission	NONE
Riverside County Transportation Commission	
City of Banning	1,182
City of Beaumont	717
City of Corona	25,577
Palo Verde Valley Transit Agency	938
City of Riverside	2,327
Riverside County Transportation Commission - Corresponding to Southern California Regional Rail Authority	84,020
Riverside Transit Agency	67,652
Sunline Transit Agency	71,808
Regional Entity Totals	231,221
Council of San Benito County Governments	NONE

** The amounts allocated to the member agencies of Southern California Regional Rail Authority are paid by their corresponding regional transportation authority.

Regional Entity, and Operator(s)	8879.58(a)(3)
San Bernardino County Transportation Commission	
Morongo Basin Transit Authority	4,888
Mountain Area Regional Transit Authority	3,287
Omnitrans	128,566
San Bernardino Associated Governments - Corresponding to Southern California Regional Rail Authority	154,560
Victor Valley Transit Service Authority	18,692
Regional Entity Totals	309,993
San Diego Association of Governments	
North San Diego County Transit Development Board	243,662
San Diego Metropolitan Transit Development Board	
City of Chula Vista	25,709
MTDB Contract Services	198,021
City of National City	12,918
San Diego Transit Corporation	358,252
San Diego Trolley, Inc.	320,151
Regional Entity Totals	915,051
San Joaquin Regional Transit District	
Altamont Commuter Express Authority	
Alameda County Congestion Management Agency	***
Santa Clara Valley Transportation Authority -	***
San Joaquin Regional Rail Commission	18,463
City of Lodi	3,731
City of Ripon	9
San Joaquin Regional Transit District	108,882
Regional Entity Totals	131,085
San Luis Obispo Council of Governments	
City of Atascadero	560
City of Morro Bay	425
City of Paso Robles Transit	1,277
City of San Luis Obispo	4,561
County of San Luis Obispo	643
San Luis Obispo Regional Transit Authority	23,846
South County Area Transit	3,489
Regional Entity Totals	34,801
Santa Barbara County Association of Governments	
City of Lompoc	1,414
County of Santa Barbara	529
Santa Barbara Metropolitan Transit District	82,839
City of Santa Maria	6,835
City of Solvang	443
Regional Entity Totals	92,060

Regional Entity, and Operator(s)	8879.58(a)(3)
Santa Cruz County Transportation Commission	
Santa Cruz Metropolitan Transit District	228,168
Shasta County Regional Transportation Planning Agency	
Redding Area Bus Authority	7,436
Sierra County Local Transportation Commission	NONE
Siskiyou County Transportation Commission	
County of Siskiyou	1,672
Stanislaus Council of Governments	
City of Modesto	25,606
County of Stanislaus	2,511
City of Turlock	1,298
Regional Entity Totals	29,415
Tehama County Transportation Commission	NONE
Trinity County Transportation Commission	
County of Trinity	232
Tulare County Association of Governments	
City of Exeter	106
City of Porterville	2,985
City of Tulare	2,024
County of Tulare	1,198
City of Visalia	9,043
Regional Entity Totals	15,356
Tuolumne County and Cities Planning Council	NONE
Ventura County Transportation Commission	
South Coast Area Transit	26,893
Ventura County Transportation Commission - Corresponding to Southern California Regional Rail Authority	48,899
Regional Entity Totals	75,792
STATE TOTALS	30,000,000

*** The amounts allocated to the member agencies of Altamont Commuter Express Authority are paid by their corresponding regional transportation authority.

Eligible Capital Expenditures

Eligible activities include either of the following:

- (A) A capital project that provides increased protection against a security or safety threat, including, but not limited to the following:
- 1) Construction or renovation projects that are designed to enhance the security of public transit stations, tunnels, guideways, elevated structures or other transit facilities and equipment.
 - 2) Explosive device mitigation and remediation equipment.
 - 3) Chemical, biological, radiological and nuclear explosives search, rescue or response equipment.
 - 4) Interoperable communications equipment.
 - 5) Physical security enhancement equipment.
 - 6) The installation of fencing, barriers, gates or related security enhancements that are designed to improve the physical security of transit stations, tunnels, guideways, elevated structures or other transit facilities and equipment.
 - 7) Other security related projects approved by OHS.
- (B) A capital project that increases the capacity of transit operators to prepare for disaster-response transportation systems that can move people, goods, emergency personnel and equipment in the aftermath of a disaster.

Grant Performance Period

Entities receiving an allocation of funds shall expend those funds within three fiscal years of the fiscal year in which the funds were allocated. Funds allocated during the fiscal year which ends June 30, 2008 shall expend those funds no later than March 31, 2011. Funds remaining unexpended thereafter shall revert to OHS or OES, as applicable, for reallocation in subsequent fiscal years. **In no case will a grant performance period exceed three years.**

County Transportation Commissions

County transportation commissions are responsible for calculating the available allocation for each project sponsor applying for funds pursuant to Gov Code section 8879.58(a)(2). Applications to OHS for projects seeking funds pursuant to Gov Code section 8879.58(a)(2) and 8879.58(a)(3) must be submitted through and approved by County transportation commissions.

General Provisions

The OHS will not approve project fund allocations for any project until the grantee agency provides a project funding plan that demonstrates that the funds are expected to be available and sufficient to complete the project. OHS will approve funding for phased projects only if the benefits associated with each phase are sufficient to meet the objectives of the program.

The grantee agency must:

- (A) Provide for the audit of project expenditures and outcomes.
- (B) Identify the useful life of the project as part of the project nomination process.
- (C) Identify project delivery milestones, including, but not limited to, start and completion dates for environmental clearance, land acquisition, design, construction bid award, construction completion, and project closeout, as applicable.
- (D) Report, on a semiannual basis, on the activities and progress made toward implementation of the project.
- (E) If it is anticipated that project costs will exceed the approved project budget, the grantee agency shall provide a plan to OHS for achieving the benefits of the project by either down-scoping the project to remain within budget or by identifying an alternative funding source to meet the cost overage. The administrative agency may either approve the corrective plan or direct the grantee agency to modify its plan.
- (F) Within six months of the project becoming operable, the grantee agency shall provide a report on the final costs of the project as compared to the approved project budget, the project duration as compared to the original project schedule as of the date of allocation, and performance outcomes derived from the project compared to those described in the original application for funding.
- (G) Applications to OHS for projects seeking funds pursuant to Gov Code Section 8879.58(a)(2) and 8879.58(a)(3) must be submitted through and approved by county transportation commissions.

Project Approval Process

Projects submitted for funding will be reviewed and approved in two phases.

Phase 1

Eligible applicants may submit **Investment Justifications (IJ)** on a continuous basis. OHS will internally review projects, and make final funding decisions.

The Investment Justifications (IJ) must be submitted on the template provided in Appendix A. The IJ will include the following sections:

- (A) Project Name
- (B) Project description and deliverables (must illustrate physical components of the project)
 - 1) Proposed schedule for the project's completion.
- (C) Project Justification
 - 1) How project reduces identified vulnerabilities and buys down risk.
 - 2) The impact of not funding the project.
 - 3) How will this project assist emergency response or increase protection against a security threat?
- (D) Project Full Cost or Budget (include scalability options, if applicable)
 - 1) Identify all nonbond sources of funding committed to the project.
 - 2) Signature Authority.
- (E) The useful life of the project shall not be less than the required useful life for capital assets specified subdivision (a) of section 16727.

Phase 2

OHS shall review the information to determine all of the following:

- (A) The project is consistent with the purposes described in subdivision (h) of Section 8879.23.
- (B) The project is an eligible capital expenditure, as described in subdivision (a) of Section 8879.57.
- (C) The project is a capital improvement that meets the requirements of paragraph (2) of subdivision (a) of 8879.57.
- (D) The project or a useful component thereof, is, or will become fully funded with an allocation of funds from the Transit System Safety, Security, and Disaster Response Account.

Upon conducting the review required in subdivision (c) and determining that a proposed project meets the requirements, OHS shall:

- (A) On a quarterly basis, provide the Controller with a list of projects and the sponsoring agencies or transit operators eligible to receive an allocation from the account.
- (B) The list of projects submitted to the Controller for allocation for any one fiscal year shall be constrained by the total amount of funds appropriated by the Legislature for the purposes of this section for that fiscal year.
- (C) For a fiscal year in which the number of projects submitted for funding under this section exceeds available funds, OHS shall prioritize projects contained on the lists submitted pursuant to paragraph (1) so that (a) projects addressing the greatest risks to the public have the highest priority and (b) to the maximum extent possible, the list reflects a distribution of funding that is geographically balanced.
- (D) Upon receipt of the information from OHS required by subdivision (d), the Controller's office shall commence any necessary actions to allocate funds to eligible agencies and transit operators sponsoring projects on the list of projects, but not exceeding agencies or transit operator's share of funds from the account pursuant to the formula contained in subdivision (a) of Section 8879.57.

Note: The FY07-08 California Transit Assistance Fund (CTAF) guidance may be modified through the issuance of Grant Management Memos. The FY07-08 CTAF guidance is a living document and is subject to change.

Notice of Project Approval

Upon final project approval, grantee agencies will receive a formal notice of approval from the OHS. The notice of approval will include project milestones, audit requirements, program monitoring requirements, reporting requirements and direction to complete the OHS Financial Management Forms Workbook (FMFW). This can be found at:

http://www.ohs.ca.gov/grants_fiscal_reporting.html

State Contact Information

All application materials, related questions, comments and correspondence should be directed to the address below.

Governor's Office of Homeland Security
ATTN: Transit Security Grant Unit
State Capitol, Sacramento, CA 95814-4900
(916) 324-8908 Phone
(916) 324-5902 Fax

OHS Transit Security Grant Representative

Robert Nelson, Program Representative
robert.nelson@ohs.ca.gov or (916) 322-2680

OHS Regional Program Representatives may be located on the Transit Security Grant Program - Regional Representative Contact map at: http://www.ohs.ca.gov/grants_transit_security.html

OHS Website

Governor's Office of Homeland Security Website
<http://www.ohs.ca.gov>

Access to Office of Domestic Preparedness Secure Portal

Office for Domestic Preparedness (ODP) Secure Portal
<https://odp.esportals.com/index.cfm>

Grantees must obtain access to the ODP Secure Portal. To obtain access, grantees must go to the OPD website and complete the online registration form. For issues related to registration contact BJ Bjornson, Secure Portal Administrator, Office of Homeland Security, Training and Exercise Program (T&E) at: bj.bjornson@ohs.ca.gov or (916) 826-4488.

Grantee Timelines

FY 07-08 CTSGP-CTAF Timeline	Draft Guidelines Issued	February 11, 2008
	Public Meeting	February 20, 2008
	Final Guidelines Issued	March 13, 2008
	Investment Justification Due	April 11, 2008
	Award Letter	May 2008
	Workbook Submitted	Two weeks after award letter received

Key Changes and State Initiatives

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Project Funding Plan

Required Funding Plan Components

A completed project funding plan will include all of the following:

- 1) **Completed OHS Financial Management Forms Workbook**
 - a. Submitted electronically under the Prop. 1B, 60%, workbook folder per uploading instructions on the ODP Secure Portal:
 - i. Application Cover Sheet.
 - ii. Management Roster.
 - iii. Project Ledger.
 - iv. Project Description.
 - v. Projects - A thru T as needed.
 1. Investment Justification – Goals and Objectives.
 2. Project Description.
 - vi. Equipment Inventory Ledger.
 - vii. Authorized Agent (AA) form with appropriate signatures.
- 2) **Authorized Agent Form - ODP and Mailed**
 - a. Signed by Authorized Agent (AA).
- 3) **Governing Body Resolution - ODP and Mailed**
 - a. Signed by Governing Body.
- 4) **Signed Original Assurances - ODP and Mailed**
 - a. Signed by Authorized Agent (AA).

Document Submittal

Completed Investment Justification funding plans and Financial Management Forms Workbook materials are accepted on a continuous basis. Additional information will be requested or accepted from the grantee at the sole discretion of the OHS.

Completed Investment Justification funding plans and Financial Management Forms Workbook materials must be submitted electronically to the ODP Secure Portal under FY 07-08 CTAF in the Prop 1B 60% - Investment Justifications folder. All documents requiring original signatures must be mailed to the OHS address.

The mailing address for all applications is:

Governor's Office of Homeland Security
ATTN: Transit Security Grant Unit
State Capitol, Sacramento, CA 95814

Governing Body Resolution

The Governing Body Resolution appoints agents authorized to execute any actions necessary for each application.

Note: All applicants will be required to submit a new Governing Body Resolution with the FY 07-08 CTAF Investment Justification. A sample resolution can be found in Appendix A.

Grant Assurances

The Grant Assurances form lists the requirements to which the grantee will be held accountable.

Important Note: Self-created assurances forms will not be accepted.

Post-Award Requirements

Post Award Modifications

Post-award budget scope and time modifications must be requested using the **OHS Financial Management Forms Workbook**, by the grantee's Authorized Agent, and submitted to the grantee's Program Representative in the Transit Security Grant Unit at the Governor's Office of Homeland Security. The grantee may implement the modifications, and incur associated expenses, **after** receiving **written final approval** of the modification from OHS.

NOTE: Modifications can be requested once per quarter during the performance period. Failure to submit modification requests, and receive written approval prior to expenditure could result in a reduction or disallowance of a cost incurred by the grantee agency.

Monitoring Grantee Performance

The state conducts regular monitoring. The monitoring will be conducted on the grantee's administrative, programmatic and fiscal management of the grants.

These reviews may include, but are not limited to, the following:

- 1) Eligibility of expenditures.
- 2) Comparing actual activities to those approved in the IJ application and subsequent modifications, if any.
- 3) Confirming compliance with:
 - a. Grant Assurances.
 - b. Information provided on performance reports and payment requests.
 - c. Needs and threat assessments and strategies.

Interest Bearing Account

CTAF funds must be kept in a separate interest bearing account. Any interest that is accrued must be accounted for and used towards the project.

Important Note

It is the responsibility of all grantees to monitor and audit the grant activities of their subgrantees. This requirement includes, but is not limited, to onsite verification of grant activities as required.

Grantee Performance Reports

Twice a year, grantees must prepare and submit performance reports (Appendix E) to the Governor's Office of Homeland Security (OHS), Transit Security Grant Unit, for the duration of the grantee performance period, or until all grant activities are completed and the grant is formally closed. The required forms are attached as Appendix E. Grantees must complete and submit the required reports using the Office for Domestic Preparedness (ODP), <https://odp.esportals.com/index.cfm>

Due Dates

Performance reports will be due to OHS on June 30 and December 31.

Final Project Report

Within six months of a project becoming operable, the grantee agency shall provide a report to OHS comparing the final cost of the project to the approved project budget, the project duration as compared to the original project schedule from the date of allocation, and performance outcomes derived from the project compared to those described in the original application for funding. The OHS will forward the report to the Department of Finance (DOF) by means approved by the DOF.

Suspension or Termination

The state may suspend or terminate funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- 1) Failing to expend funds in a timely manner consistent with the milestones, guidance and assurances.
- 2) Failing to comply with the requirements or statutory objectives of federal or state law.
- 3) Failing to make satisfactory progress toward the goals or objectives of federal or state law.
- 4) Failing to make satisfactory progress toward the goals or objectives set forth in the application.
- 5) Failing to follow agreement requirements or special conditions.
- 6) Proposing or implementing substantial plan changes to the extent that, if originally submitted, the proposed project would not have been approved for funding.
- 7) Failing to submit required reports.
- 8) Filing a false certification in the application or other report or document.
- 9) Failing to adequately manage, monitor or direct the funding activities of their subgrantees.

Before taking action, the state will provide the grantee reasonable notice of intent to impose corrective measures and will make every effort to resolve the problem informally.

Closeout

The state will close the grantees' award after:

- (A) Receiving a Final Report (Appendix E) indicating that all approved work has been completed, and all funds have been disbursed;
- (B) Completing a review to confirm the accuracy of reported information;
- (C) Report reconciling actual costs to awards, modifications and payments;
- (D) Reconciling actual costs to awards, modifications and payments.

Reconciliation indicates that the grantee:

- 1) If the grantee is owed additional funds, the state will send the final payment automatically to the grantee.
- 2) Did not use all funds received, the state will issue an Invoice or Grant Modification letter to recover unused funds.

In the **Grant Closeout Letter**, the state will notify the grantee of the start of the record retention period for all programmatic and financial related records

Note: Failure to maintain all records for the required retention period could result in a reduction of eligible activities, and an invoice to return costs associated with the unsupported activities.

Payment Request Process

To request a payment of FY07-08 CTAF funds, complete a cash request form using the OHS Financial Management Forms Workbook, including the authorized agent's signature, and return it to the appropriate Program Representative in the Transit Security Grant Unit (TSGU) at the Governor's Office of Homeland Security

OHS Financial Management Forms Workbook
http://www.ohs.ca.gov/grants_fiscal_reporting.html

Appendices

Appendix	Document
A	Investment Justification Template
B	Authorized Agent
C	Governing Body Resolution
D	Grant Assurances
E	Performance Report Template

Appendix A
Investment Justification Template
 (Required Font – New Times Roman – 10)

Investment Heading	
Date	
State	
County	
Agency Name	
Investment Name	
Investment Phase	
Investment Amount	\$

I.A. Identify the transit agency and that agency's point(s) of contact for this investment.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<p>For the transit agency (or lead agency) undertaking the investment, identify the following:</p> <ul style="list-style-type: none"> • Point of contact's (POC) name and title; • POC's full mailing address; • POC's telephone number; • POC's fax number; • POC's email address; • and, Also include the corresponding information for the single authorizing official for your organization—i.e., the individual authorized to sign a grant award.
Response	

I.B. Describe the operating system for the transit agency undertaking this investment.	
Response Type	Narrative
Page Limit	Not to exceed 2 pages
Response Instructions	<p>For the transit agency (or lead agency) undertaking this investment, describe the following:</p> <ul style="list-style-type: none"> • Infrastructure; • Ridership data; • Number of passenger miles; • Number of vehicles; • Types of service and other important features; • System map; • Geographical borders of the system and the cities and counties served; and, • Other sources of funding being leveraged for security enhancements
Response	

II.A. Provide a brief abstract for this investment.	
Response Type	Narrative
Page Limit	Not to exceed 1 page
Response Instructions	Provide a succinct statement summarizing this investment.
Response	

II.B. Describe how this investment specifically addresses one or more of the transit security fundamentals identified in the FY07-08 (CTAF) Guidance	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<p>Describe how the investment addresses one or more of the following:</p> <p>A. Capital Projects:</p> <ul style="list-style-type: none"> • Construction or renovation projects that are designed to enhance the security of public transit stations, tunnels, guide-ways, elevated structures or other transit facilities and equipment • Explosive device mitigation and remediation equipment • Chemical, biological, radiological and nuclear explosive search, rescue or response equipment • Interoperable communications equipment • Physical security enhancement equipment • The installation of fencing, barriers, gates or related security enhancements that are designed to improve the physical security of transit stations, tunnels, guide-ways, elevated structures or other transit facilities and equipment • Other security related projects approved by the Office of Homeland Security (OHS) <p>B. Capital expenditures to increase the capacity of transit operators to develop disaster response transportation systems that can move people, goods, and emergency personnel and equipment in the aftermath of a disaster impairing the mobility of goods, people, and equipment.</p>
Response	

II.C. Describe the investment will achieve the safety, security, or emergency response benefit.	
Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	Outline how investment specifically addresses the transit agency's required security or emergency response plan.
Response:	

II.D. Describe how this investment specifically meets the useful life for capital assets specified in subdivision (a) of section 16727.

Response Type	Narrative
Page Limit	Not to exceed ½ page
Response Instructions	<p>Describe how the investment addresses one or more of the following tangible physical properties:</p> <ul style="list-style-type: none"> • An expected useful life of 15 years or more • Property with an expected useful life of 10 to 15 years, but these costs may not exceed 10 percent of the bond proceeds net of all issuance costs. • Include major maintenance, reconstruction, demolition for purposes of reconstruction of facilities, and retrofitting work that is ordinarily done no more often than once every 5 to 15 years or expenditures that continue or enhance the useful life of the capital asset. • Equipment with an expected useful life of two years or more.
Response	

III.A. Investment Funding Plan

Response Type	Narrative		
Page Limit	Not to exceed 1 page		
Response Instructions	<ul style="list-style-type: none"> • Include a narrative response below certifying how the cost share requirement will be met, where applicable • Complete the chart below to identify the amount of funding being requested for this investment only; • Funds should be requested by allowable cost categories (i.e., planning, organization, equipment, and management and administration.); • Applicants must make funding requests that are reasonable and justified by direct linkages to activities outlined in this particular investment; and, <p>Applicants must indicate whether additional funding (non FY07-08 CTAF) will be leveraged for this investment.</p>		
Response	FY07-08 CTAF Request Total	Other Funding Sources Applied (including cost share required)	Grand Total
	8879.58(a)(2)	8879.58(a)(3)	
Planning			
Equipment			
Construction			
Total			

III.B. Provide a high-level timeline, milestones and dates, for the implementation of this investment. Possible areas for inclusion are: stakeholder engagement, planning, major acquisitions/purchases, training, exercises, and process/policy updates. Up to 10 milestones may be provided.	
Response Type	Narrative
Page Limit	Not to exceed 1 page
Response Instructions	<ul style="list-style-type: none"> • Only include major milestones that are critical to the success of the investment; • While up to 10 milestones may be provided, applicants should only list as many milestones as necessary; • Milestones are for this discrete investment – those that are covered by the requested FY 2008 TSGP funds and will be completed over the 36-month performance period; • Milestones should be kept to high-level, major tasks that will need to occur; • Identify the planned start date associated with the identified milestone. The start date should reflect the date at which the earliest action will be taken to start achieving the milestone; • Identify the planned completion date when all actions related to the milestone will be completed and overall milestone outcome is met; and, • List any relevant information that will be critical to the successful completion of the milestone (such as those examples listed in the question text above).
Response	

An IJ template in a word document is located on the Transit Grant Unit website, under additional resources: http://www.ohs.ca.gov/grants_prop1b_transit.html

Appendix B
Authorized Agent

AS THE _____
(Chief Executive Officer / Director / President / Secretary)

OF THE _____
(Name of State Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named State Organization, any actions necessary for the purpose of obtaining state financial assistance provided by the Governor's Office of Homeland Security.

_____, *OR*
(Name or Title of Authorized Agent)

_____, *OR*
(Name or Title of Authorized Agent)

_____.
(Name or Title of Authorized Agent)

Signed by _____ *and*
approved this _____ *day of* _____, 20____.

Appendix C
Governing Body Resolution

BE IT RESOLVED BY THE _____
(Governing Body)

OF THE _____ *THAT*
(Name of Applicant)

_____, *OR*
(Name or Title of Authorized Agent)

_____, *OR*
(Name or Title of Authorized Agent)

_____,
(Name or Title of Authorized Agent)

is hereby authorized to execute for and on behalf of the named applicant, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining financial assistance provided by the Governor's Office of Homeland Security.

Passed and approved this _____ day of _____, 20_____

Certification

I, _____, duly appointed and
(Name)

_____ of the _____
(Title) (Governing Body)

do hereby certify that the above is a true and correct copy of a resolution passed and approved by

the _____ of the _____ on the
(Governing body) (Name of Applicant)

_____ day of, _____,
20_____ .

(Official Position)

(Signature)

(Date)

Appendix C

Instruction Sheet for the Governing Body Resolution

Purpose The purpose of the Governing Body Resolution is to inform the governing body of the intention to enter into the grant, document their understanding of the responsibilities of the grant and to appoint individuals to act on behalf of the governing body and the applicant.

Authorized Agent(s) The Governing Body Resolution allows for the appointment of individuals or positions. For each person or position appointed by the governing body, submit the following information, with the resolution, to the state on the applicant's letterhead:

- | | |
|---|--|
| <input type="checkbox"/> Recipient Agency | <input type="checkbox"/> Telephone |
| <input type="checkbox"/> Grant Program | <input type="checkbox"/> Fax Number |
| <input type="checkbox"/> Name | <input type="checkbox"/> Cell Phone Number |
| <input type="checkbox"/> Title | <input type="checkbox"/> E-Mail Address |
| <input type="checkbox"/> Address | |
| <input type="checkbox"/> City | |
| <input type="checkbox"/> Zip Code | |
-

- Authorized Agent Changes**
- If the Governing Body Resolution identifies Authorized Agents by position and/or title, changes can be made by submitting new Authorized Agent information to the state.
 - If the Governing Body Resolution identifies Authorized Agents by name, a new Resolution is needed when any changes are made. The information listed above must also be submitted with the new Resolution.

Appendix D
Grant Assurances

**FY 08 Transit System Safety, Security and
Disaster Response Account Program**

Grant Assurances
(All Applicants)

Name of Applicant: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone Number: (____) _____

Fax Number: (____) _____

E-Mail Address: _____

As the duly authorized representative of the applicant, I certify that the applicant named above:

1. Has the legal authority to apply for Transit System Safety, Security, and Disaster Response Account funds, and has the institutional, managerial and financial capability to ensure proper planning, management and completion of the grant provided by the State of California and administered by the California Office of Homeland Security (OHS).
2. Will assure that grant funds are only used for allowable, fair, and reasonable costs.
3. Will give the State of California generally and OHS in particular, through any authorized representative, access to and the right to examine all paper or electronic records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or OHS directives.
4. Will provide progress reports and such other information as may be required by OHS.
5. Will initiate and complete the work within the applicable time frame after receipt of OHS approval.

6. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain for themselves or others, particularly those with whom they have family, business or other ties.
7. Will comply with all California and federal statutes relating to nondiscrimination. These include but are not limited to:
 - a. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, which prohibits discrimination on the basis of race, color or national origin;
 - b. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683 and 1685-1686), which prohibits discrimination on the basis of sex;
 - c. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794) which prohibits discrimination on the basis of handicaps;
 - d. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107) which prohibits discrimination on the basis of age;
 - e. The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse;
 - f. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
 - g. Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. § 290dd-2), as amended, relating to confidentiality of alcohol and drug abuse patient records;
 - h. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing;
 - i. Title 28, Code of Federal Regulations, Part 42, Subparts C, D, E and G;
 - j. Title 28, CFR, Part 35;
 - k. Any other nondiscrimination provisions in the specific statute(s) under which application for federal assistance is being made; and
 - l. The requirements on any other nondiscrimination statute(s) which may apply to the application.
8. Will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

9. Will comply with applicable environmental standards which may be prescribed pursuant to California or Federal law. These may include, but are not limited to, the following:
 - a. California Environmental Quality Act (CEQA). California Public Resources Code Sections 21080-21098. California Code of Regulations, Title 14, Chapter 3 Sections 15000-15007;
 - b. institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
 - c. notification of violating facilities pursuant to EO 11738;
 - d. protection of wetlands pursuant to EO 11990;
 - e. evaluation of flood hazards in floodplains in accordance with EO 11988;
 - f. assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.);
 - g. conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
 - h. protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and
 - i. protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
10. Will comply, if applicable, with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et. seq.) related to protecting components or potential components of the national wild and scenic rivers system.
11. Will assist OHS, as appropriate, in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq).
12. Will comply with Standardized Emergency Management System (SEMS) requirements as stated in the California Emergency Services Act, Gov Code §§ 8607 et seq. and CCR Title 19, Sections 2445, 2446, 2447 and 2448.
13. Will:
 - a. Promptly return to the State of California all the funds received which exceed the approved, actual expenditures as accepted by OHS;
 - b. In the event the approved amount of the grant is reduced, the reimbursement applicable to the amount of the reduction will be promptly refunded to the State of California; and
 - c. Separately account for interest earned on grant funds, and use all interest towards the project as approved by OHS.

14. Will comply, if applicable, with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
15. Agrees that equipment acquired or obtained with grant funds:
 - a. Will be made available under the California Disaster and Civil Defense Master Mutual Aid Agreement in consultation with representatives of the various fire, emergency medical, hazardous materials response services, and law enforcement agencies within the jurisdiction of the applicant;
 - b. Is consistent with needs as identified in the State Homeland Security Strategy and will be deployed in conformance with that Strategy; and
 - c. Will be made available pursuant to applicable terms of the California Disaster and Civil Defense Master Mutual Aid Agreement and deployed with personnel trained in the use of such equipment in a manner consistent with the California Law Enforcement Mutual Aid Plan or the California Fire Services and Rescue Mutual Aid Plan.
16. Will comply, as applicable, with provisions of Title 28 of the Code of Federal Regulations applicable to grants and cooperative agreements, including:
 - a. Part 18, Administrative Review Procedures;
 - b. Part 20, Criminal Justice Information Systems;
 - c. Part 22, Confidentiality of Identifiable Research and Statistical Information;
 - d. Part 23, Criminal Intelligence Systems Operating Policies;
 - e. Part 30, Intergovernmental Review of Department of Justice Programs and Activities;
 - f. Part 35, Nondiscrimination on the Basis of Disability in State and Local Government Services;
 - g. Part 38, Equal Treatment of Faith-based Organizations;
 - h. Part 63, Floodplain Management and Wetland Protection Procedures;
 - i. Part 42, Nondiscrimination/Equal Employment Opportunities Policies and Procedures;
 - j. Part 61, Procedures for Implementing the National Environmental Policy Act;
 - k. Part 64, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs;
 - l. Part 66, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments;
 - m. Part 67, Government-Wide Debarment and Suspension (Non-Procurement).
 - n. Part 69, New Restrictions on Lobbying;
 - o. Part 70, Uniform Administrative Requirements for Grants and Cooperative Agreements (including sub-awards) with Institutions of Higher Learning, Hospitals and other Non-Profit Organizations; and
 - p. Part 83, Government-Wide Requirements for a Drug Free Workplace (grants).

17. Will comply, if applicable, with Subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990.
18. Will, in the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to OHS.
19. Will comply with the financial and administrative requirements set forth in the current edition of the Office of Justice Programs (OJP) Financial Guide.
20. Will comply with all applicable requirements of all other California and Federal laws, executive orders, regulations, program and administrative requirements, policies and any other requirements governing this program.
21. Understands that failure to comply with any of the above assurances may result in suspension, termination or reduction of grant funds.
 - a. The applicant certifies that it and its principals:
 1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;
 2. Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and
 - b. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

The undersigned represents that he/she is authorized by the above named applicant to enter into this agreement for and on behalf of the said applicant.

Signature of Authorized Agent: _____

Printed Name of Authorized Agent: _____

Title: _____ Date: _____

Appendix E
Performance Report Template

Date:

Recipient Agency:

Project Name:

Performance Period:

Notification of Grant Award Date:

Anticipated Completion Date:

Milestones - Insert milestones from grant award letter - detail progress made toward meeting milestone.

1)

2)

3)

4)

5)

6)

Signature of Authorized Agent

Date

Name:

Title:

Phone:

Email: